

COT MEETING MINUTES

COMMISSION ON TECHNOLOGY

Friday, June 6, 2014

9:30 AM - 2:45 PM

ARIZONA SUPREME COURT
Administrative Office of the Courts
1501 W. Washington
Phoenix, AZ 85007

CONFERENCE ROOM 119

MEMBERS PRESENT

Scott Bales, *Chair*
Kent Batty (*Laura Johnston, proxy*)
Randolph Bartlett
Michael Baumstark
Raymond Billotte
Michael Jeanes (*Cathy Clarich, proxy*)
Diane Johnsen (*Michael Brown, proxy*)
Gary Krcmarik
John Lucas
Michael Miller
John Rezzo
Delcy Scull
Thomas L. Schoaf
Roxanne Song Ong
Virlynn Tinnell

GUESTS

Tom Moseley, *Maricopa Superior Court*
Joe Junker, *IBM Software*
Chad Roche, *CACC*
John Pelander, *AZ Supreme Court*
Michael Pollard, *CACC*

MEMBERS ABSENT

Bennett Cooper

AOC STAFF

Randy Baxter, *ITD*
Stewart Bruner, *ITD*
Dave Byers, *Exec Office*
Eric Ciminski, *ITD*
Karl Heckart, *ITD/TAC*
Kevin Kluge, *Finance*
Denise Lundin, *CSD*
Bob Macon, *ITD*
Marcus Reinkensmeyer, *CSD*
Jason Shumberger, *ITD*

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WELCOME AND OPENING REMARKS

Hon. Scott Bales, Chair

Vice Chief Justice Scott Bales, Chair, called the Commission on Technology (COT) annual meeting to order just after 9:35 a.m. He thanked members and welcomed the public present, then asked members to introduce themselves for the record. Staff confirmed that a quorum existed.

Justice Bales updated members on several items, including:

- The general overview of topics being discussed in the meeting and the progression of discussions through the day.
- The transition to Justice Pelander as chair.
- Recognition of COT and subcommittee members for their continued service.
- A reminder about the public comment process.

He then called members' attention to the minutes from the February 14, 2014 meeting.

MOTION

A motion was made and seconded to approve the minutes of the February 14, 2014 Commission on Technology meeting, as amended. The motion passed unanimously.

TECH 14-04

IT STRATEGIC ROADMAP

Mr. Karl Heckart

Justice Bales introduced Karl Heckart, chief information officer (CIO) for the Administrative Office of the Courts (AOC), to set the stage for the planning effort. Karl recapped the history of the influence of computing on society then described current global trends related to technology use. He categorized future court automation by its intended audience – public, court, or partners – then described some current and upcoming projects aimed at each. Karl elaborated a coming “new way to work” in the office productivity arena, made possible by cloud storage, Office 365, Lync, and SharePoint before summarizing issues being fueled by the proliferation of digitized information.

After Karl reminded members that every technology adoption leads to unintended policy consequences, he displayed a specific set of technical challenges and technology-related issues faced by the Branch. He responded to questions about the future of Crystal Reports and the scope of the demonstration of eBench being performed at the upcoming judicial conference.

STRATEGIC PROJECTS REVIEW/UPDATES

Subcommittee Chairs

UPDATE

COURT AUTOMATION COORDINATING COMMITTEE

Hon. Michael Pollard

Judge Michael Pollard, chair of the Court Automation Coordinating Committee (CACC), emphasized the continuing emphasis of the committee to take a macro view of trial court automation projects and held up the PCCJC Agave case management system (CMS) effort as a successful example of that strategy. He briefly described various projects that have completed

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over the past year as well as key projects that are planned for completion within the next year. Judge Pollard called members' attention to two priority projects, the limited jurisdiction (LJ) CMS implementation and general jurisdiction (GJ) CMS enhancements, that CACC is recommending for priority. He emphasized the need for continued funding to see these projects through to completion.

UPDATE

PROBATION AUTOMATION COORDINATING COMMITTEE

Mr. Bob Macon

In the absence of Ms. Rona Newton, chair of the Probation Automation Coordinating Committee (PACC), staff member Mr. Bob Macon listed accomplishments in automation from the past year and anticipated progress for next year in the juvenile justice arena. Mr. Randy Baxter, adult probation automation manager for the AOC, covered the same for the statewide adult probation area. Mr. Tom Moseley, Deputy CIO, covered both juvenile and adult probation automation for Maricopa County.

UPDATE

TECHNICAL ADVISORY COUNCIL

Mr. Karl Heckart

Karl Heckart, chair of the Technical Advisory Council (TAC), used his update to inform members in detail about several key items involving court technology, including:

- The technology industry's change to a consumer-based model;
- Continual, rapid consumption of added infrastructure capacity;
- Security and disaster recovery challenges in a "device diverse" world;
- The cost and complexity of replacing ageing IT systems; and
- Harnessing the power of "the cloud."

In answer to a member's question, Karl clarified that all court IT resources are always welcome to attend TAC meetings, that he is committed to meet with county IT leaders every year, and that he desires to build a mobile application for probation officers in the field, though insufficient resources exist to undertake that project at present.

UPDATE

e-COURT SUBCOMMITTEE

Mr. Marcus Reinkensmeyer

Mr. Marcus Reinkensmeyer, Director of AOC's Court Services Division, introduced various project managers involved in the eCourt / eServices program and provided their progress over the previous year. He emphasized the overlap among the three projects and highlighted the primary stakeholders for each. Marcus shared challenges thus far including disparate CMSs, document management systems, vendors, and contracts; bandwidth necessary to move large documents quickly enough to meet judges' expectations; integration of CMS data with the central case index; and the workflow necessary to really use digital case documents from start to finish. He described new services and enhancements available for AZTurboCourt users before previewing the coming multi-vendor filing model powered by eUniversa. He also mentioned a coming emphasis on government-to-government electronic systems, especially at LJ courts.

In answer to a question about the relationship between optical character recognition (OCR) and eFiling, Karl Heckart reminded members that eFiling provides the court with word processing

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files that are machine searchable. The eBench product can OCR scanned documents for judges, but mandatory e-filing has the advantage of tipping the scale to searchable input over time.

Marcus reiterated the goal from previous COT meetings of 24X7 access to electronic court records in accordance with Rule 123 using a vendor solution on a subscription model. He showed members various screens in the development version of the application. The eBench pilot project at Pima Superior Court is close to several judges and their staff beginning operation with the tool. Work is getting underway on a pilot with Yavapai Superior Court. Marcus reviewed key features of eBench and showed actual screens from the judge's view of the application.

Members were interested to know what hardware judges required for using eBench in Pima. Laura Johnston, court IT director, stated that benches will be piloting large, horizontal, touchscreen monitors to keep judges' view unobstructed. They decided against tablets, at least initially, due to their small screen size.

UPDATE

OPERATIONAL AND FINANCIAL REVIEW

Mr. Kevin Kluge

Mr. Kevin Kluge, chief financial officer for the AOC, shared the financial status of the Judicial Collections Enhancement Fund (JCEF) and showed a projection of actual revenues against predicted revenues, revenues against expenses, and the projected remaining fund balance at the end of FY15. Kevin described the continued decrease in court filings in the fiscal year, and with that diminishing revenues. Fund sweeps have also affected the balance over the past several years. He described his expenditure strategies for FY15 predicated on projected revenues not growing during the plan period. Kevin detailed the projected costs of existing statewide projects based on the facts that exist today, but reminded members that many variables in the LJ CMS project have not yet been fully quantified.

Kevin's bottom line for members was that sufficient revenue is projected to support ongoing operations and existing project commitments along with completion of the statewide PC refresh in progress, but an insufficient fund balance exists to support any new initiatives for the next several years.

IT STRATEGIC PROJECT PRIORITIZATION FY15-FY18

Mr. Karl Heckart

Karl reviewed competing projects from various courts and statewide groups along with some considerations for setting priorities among them, including continually aging systems, massive interdependencies, resource levels required to complete them, impact of multiple changes on resources and staffing, and the ability of any individual project to generate rather than consume revenue. He briefly reviewed the list of priority projects from last year's annual meeting before unveiling the longer list he is proposing in the same three tiers used last year. Karl indicated that his list takes into account CACC's priority projects, too.

In answer to a question about linkage of funding to individual projects, Karl referred back to the aggregated numbers for project costs provided in Kevin Kluge's prior presentation. He also elaborated on the breadth of the eBench project. Gary Krcmarik requested that the AJACS GJ

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Enhancements bullet from last year be restored in this year's list. Karl described ongoing cybersecurity efforts and the reason no specific security project appears in the list. He also addressed a question about whether other states' systems are being investigated for purchase or use by Arizona. A suggestion was made to show the list of projects that have not made the priority list and therefore would likely not be done worked on in favor of those in the list.

Before the vote, Justice Bales explained that the priority exercise does not actually allocate funds for spending -- COT recommends JCEF budget amounts but AJC makes the final decisions on funding necessary to carry out the priorities of the Branch.

MOTION

A motion was made and seconded to approve the recommended priorities with the addition of a bullet for GJ CMS enhancements. The motion passed unanimously with Laura Johnston abstaining.

TECH 14-05

FINANCIAL AND TACTICAL DECISIONS

Mr. Karl Heckart

Karl displayed the JCEF fund balance and budget breakdowns shown earlier in the meeting by Kevin Kluge. He reviewed each category of spending and the various items included within that category and reiterated the alignment of the recommendation with the earlier discussion of project priorities. He clarified that the JCEF budget does not include funding for eCourt projects; those have separate revenue sources approved by AJC.

MOTION

A motion was made and seconded to fund operation of existing statewide systems and continued development of previously authorized statewide systems. The motion passed with 13 yes votes and 1 no vote.

TECH 14-06

FY2015-2017 INDIVIDUAL COUNTY AUTOMATION PLANS AND TRENDS

Mr. Stewart Bruner

Mr. Stewart Bruner, Manager of IT Strategic Planning for AOC, shared the larger context of the strategic business planning, IT planning, and COT's direction regarding the frequency of plan updates. He briefly detailed areas of analysis he performs on the plans as well as some data about the effort required to update those plans. He highlighted several prominent technology trends showing up in plans this year, including

- getting and sharing more digital information at all levels of court– but with it increased reliance on workflow software and use of consumer products to craft inexpensive but non-standard solutions that will not integrate with statewide automation;
- the growing emphasis on language access in local courts and awareness of coming statewide automation changes;
- out-of-support operating systems, database management systems, and productivity software suites with gaps continuing to widen over time;
- continued movement toward local resources crafting ad hoc solutions for court performance metrics;

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- frustration among justice partners desiring access to AJACS data but lacking licenses for the application or ACAP PCs; and
- detail about the persistent use of outdated consumer financial programs for check printing and bank reconciliations.

He reminded members that his presentation details certain accomplishments and concerns from the individual plans; that those concerns are conveyed to the presiding judge of the county in a letter from the COT chair; and that, while he makes suggestions, the choice of motion text related to any individual plan is ultimately theirs. Stewart then launched into his whirlwind, county-by-county, strategic plan summarization effort.

MOTION	A motion was made and seconded to approve Apache County Courts' Information Technology Strategic Plan for FY 2015-2017 with a concern raised for continued reliance on MS-Access for Clerk and Probation business processes. The motion passed unanimously.	TECH-14-07
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Members responded to Karl's reasons to be concerned about continued use of MS-Access by local courts leading to the decision to make it unusable on new PCs pending completion of a request form signed by court leadership to acknowledge the risk and lack of AOC support for Access.

MOTION	A motion was made and seconded to approve Coconino County Courts' Information Technology Strategic Plan for FY 2015-2017. The motion passed unanimously with Gary Krcmarik abstaining.	TECH-14-08
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John Lucas added a concern that use of a multifunction copier for digitizing court documents can leave images on the hard drive of the machine and make them available outside the court when the device is disposed of, unless they are specifically removed beforehand.

MOTION	A motion was made and seconded to approve Gila County Courts' Information Technology Strategic Plan for FY 2015-2017 with concerns raised for various operating system and database solutions in retirement status as well as MS-Access for production use, bringing business risk. The motion passed unanimously.	TECH-14-09
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MOTION	A motion was made and seconded to approve Maricopa County Courts' Consolidated Information Technology Strategic Plan for FY 2015-2017, with concerns noted for the wide range of commercial technology products/solutions in retirement status but still in production use, posing increasing business risk as the EA targets move forward and production data/business functions residing in MS-Access in multiple municipal courts	TECH-14-10
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and the Clerk of the Superior Court, posing business risk. The motion passed unanimously with Ray Billotte abstaining.

Cathy Clarich described the scope and function of the Clerk of Court's recent eCertification project. Stewart praised the hard work of Thomas Moseley for rounding up technical input during a period of many personnel changes, freeing him to devote his attention to the other counties.

MOTION

A motion was made and seconded to approve Pima County Courts' Information Technology Strategic Plan for FY 2015-2017 with a concern noted for various operating systems, DBMSs, and software versions in retirement status but still in production use at various courts, posing increasing business risk as the EA targets move forward. The motion passed unanimously with Michael Miller abstaining.

TECH-14-11

Stewart thanked Laura Johnston for her work in getting the technical details of the plan rounded up from the various Pima entities.

MOTION

A motion was made and seconded to approve Pinal County Courts' Information Technology Strategic Plan for FY 2015-2017 with concerns raised for the number of local bolt-on applications and the intention of the clerk to pursue custom development or replacement of the statewide case management system. The motion passed unanimously.

TECH-14-12

Stewart reminded members that any CMS replacement would require an exemption from COT. Gary Krcmarik stated that he understood the frustration with AJACS experienced by the Pinal clerk, but that developing a new CMS was not the best way to address the situation.

MOTION

A motion was made and seconded to approve Santa Cruz County Courts' Information Technology Strategic Plan for FY 2015-2017 with a stipulation that COT be informed prior to commencement of any new database development using MS-Access. The motion passed unanimously.

TECH-14-13

MOTION

A motion was made and seconded to approve Yavapai County Courts' Information Technology Strategic Plan for FY 2015-2017 with a concern raised for the use of non-standard imaging systems to digitize case documents at various LJ courts, posing business risk and affecting eventual e-filing efforts. The motion passed unanimously.

TECH-14-14

In response to a request from Ray Billotte that Maricopa and Pima be placed on a two-year update cycle like the rural counties, Justice Bales recommended that the topic appear on the agenda of the September meeting for discussion when Kent Batty can be present.

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MEETING REVIEW/WRAPUP

Hon. Scott Bales

Justice Bales provided progress for the re-appointment process, announced the AJC meeting date of June 23, the upcoming judicial conference dates, and a change to the November meeting date from the 14th to the 21st.

CALL TO THE PUBLIC

Hon. Scott Bales

After hearing no further discussion from members or the public, the chair then entertained a motion to adjourn at 2:20 p.m.

Upcoming Meetings:

September 12, 2014	AOC – Conference Room 119 A/B
November 21, 2014	AOC – Conference Room 106

MEETING ADJOURNED

2:20 PM